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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/565,739

09/25/2006

Kazuo Tagawa

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12/08/2008

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EXAMINER

VASISTH, VISHAL V

ART UNIT

PAPER NUMBER

1797

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DELIVERY MODE

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/565,739	<b>Applicant(s)</b> TAGAWA ET AL.	
	<b>Examiner</b> VISHAL VASISTH	<b>Art Unit</b> 1797	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 25 September 2006.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-9 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-9 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All    b) ☐ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>1/24/2006 and 9/25/2006</u> .                                 | 6) <input type="checkbox"/> Other: _____                          |

**DETAILED ACTION**

***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1, 4-7 and 9 are rejected under 35 U.S.C. 102(b) as being anticipated by Seiki et al., US Patent No. 5,403,503 (hereinafter referred to as Seiki).

Seiki discloses a refrigerator oil composition comprising, a polyoxyalkylene glycol derivative (a prescribed base oil as recited in claim 1) (Col. 2/L. 21-49), load carrying additives such as phosphoric monoesters (phosphorus-based extreme pressure agent as recited in claim 1) (Col. 7/L. 8-20) and the reaction product of a monohydric aliphatic alcohol (monohydric alcohol) and a polybasic carboxylic acid wherein the polybasic carboxylic acids are preferably aliphatic saturated dicarboxylic acid having 2 to 12 carbon atoms (oil agent as recited in claim 1 and ester oil agent as recited in claim 5 and linear dibasic acid and monohydric alcohol of claims 6-7) (Col. 3/L. 59-67).

The composition of Seiki further comprises chlorine capturing agents such as epoxy fatty acid monoesters (as recited in claim 4) (Col. 7/L. 35-38) and an aliphatic acid partially esterified with a polyhydric alcohol wherein the aliphatic acid can be a monobasic fatty acid (Col. 5/L. 60-65 and Col. 8/Table 1) (esters of polyhydric alcohol and monobasic fatty acid as recited in claim 9) and either a phosphate or phosphite compound or both.

***Claim Rejections - 35 USC § 102***

Art Unit: 1797

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

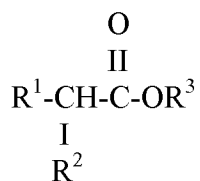
A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1, 4-7 and 9 are rejected under 35 U.S.C. 102(e) as being anticipated by

Kawahara et al., US Patent No. 6,667,285 (hereinafter referred to as Kawahara). The examiner notes that this is the US national phase application (therefore in English) of WIPO application No. WO/2000/068345 which is in Japanese but does have a 102(b) date.

Kawahara discloses a lubricating oil composition for refrigerators comprising hydrocarbon oils (prescribed base oil as recited in claim 1) (Col. 3/L. 39), antiwear agents such as tricresyl phosphate (phosphorus-based extreme pressure agent as recited in claim 1) and at least one aliphatic saturated branched-chain carboxylic acid monoalkyl ester represented by the formula:



wherein when R<sup>2</sup> is hydrogen, R<sup>1</sup> is a branched-chain alkyl and R<sup>3</sup> is C<sub>1</sub>-C<sub>20</sub> straight-chain alkyl monoesters of a monobasic fatty acid having 12 or more carbon atoms and a monohydric alcohol having 1-24 carbon atoms (oil agent of claim 1 and ester oil agent as recited in claim 5 and linear dibasic acid and monohydric alcohol of claims 6-7) (Col. 2-3/L. 64-15). The composition of Kawahara may further contain other base oils such as alicyclic dicarboxylic acid esters esterified

Art Unit: 1797

by monohydric alcohols (esters of alicyclic dibasic acids and monohydric alcohols as recited in claim 9) (Col. 14/L. 21-26 and Col. 15-16/L. 55-3) and epoxy compounds in order to improve thermal and hydrolytic stability (epoxy compound as recited in claim 4) (Col. 20/L. 59-68).

The finished composition of Kawahara further discloses additives such as antioxidants, metal deactivators and antiwear agents such as tricresyl phosphate (phosphorus additive as recited in claims 14 and 17).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

7. Claim 8 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kawahara.

Kawahara discloses the limitation of claim 10 as discussed above and further discloses that the ratio of aliphatic saturated branched-chain carboxylic acid monoalkyl ester to hydrocarbon oil is 0.5:99.5 wt% to 99.5:0.5 wt% (which overlaps with the range as recited in claim 11).

Art Unit: 1797

8. Claims 2-3 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kawahara in view of Shimomura et al., US Patent No. 6,228,282 (hereinafter referred to as Shimomura).

Kawahara discloses all of the limitations as applied to claim 1 as discussed above.

Kawahara discloses antiwear agents which include phosphate and phosphite compounds, and Kawahara further discloses the use of sulfur-based additives. Kawahara, however, does not explicitly disclose the use of a phosphorothionate and a phosphorus additive apart from the phosphorothionate.

Shimomura discloses a refrigerator oil composition comprising an alicyclic polycarboxylic acid ester compound, an epoxy compound and additives which improve wear resistance and load capacity such as phosphoric esters (phosphorus compound) and sulfur compounds to further improve wear resistance and load capacity such as phosphorothionates (Col. 7-8/L. 16-31). It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the composition of Kawahara with the phosphorothionates of Shimomura in order to enhance the wear resistance and load capacity of the composition (Col. 8/L. 18-20 of Shimomura).

### ***Double Patenting***

9. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

Art Unit: 1797

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

10. Claims 1-3 and 5-9 are provisionally rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 10-18 of copending Application No. 10/566,494. Although the conflicting claims are not identical, they are not patentably distinct from each other. The copending application claims a refrigerating machine oil composition comprising a base oil and at least one ester additive selected from esters of monobasic fatty acids having 12 or more carbon atoms and monohydric alcohols having 1-24 carbon atoms or esters of linear dibasic acids and monohydric alcohols. Wherein the base oil contains at least one of an esters of monobasic acids and monohydric alcohols or esters of linear dibasic acids and monohydric alcohols. Also, there is sulfur-based additive which is a phosphorothionate and another phosphorus compound is used in the composition that is separate from the phosphorothionate. The ester additive is present in the range between 0.01-10 wt% based on the total weight of the composition and further comprises a polyalkylene glycol which can used as a secondary base oil. The instant application recites a refrigerating machine oil composition comprising the same base oil with the same additives present in the same percentages but further comprising an epoxide and does not comprise a polyalkylene glycol. The epoxide would have been obvious as a thermal stabilizer.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

***Conclusion***

11. There were X references disclosed in the PCT search report that was part of the file wrapper to this application that were unused. This is because the references used were sufficient to reject the claims.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to VISHAL VASISTH whose telephone number is (571)270-3716. The examiner can normally be reached on M-R 8:30a-5:30p.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Glenn Caldarola can be reached on (571)272-1444. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

VVV

/Glenn A Caldarola/  
Acting SPE of Art Unit 1797